



PTO/SB/81 (09-03)

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CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/827,121
Filing Date	April 16, 2004
First Named Inventor	John D. Baxter
Title	NUCLEAR RECEPTOR LIGANDS AND
Art Unit	1631
Examiner Name	Carolyn L. Smith
Attorney Docket Number	407J-981114US

I hereby appoint:

☒ Practitioners associated with the Customer Number:

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☒ Practitioner(s) named below:**22798**

PATENT TRADEMARK OFFICE

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

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☒ Firm or Individual Name Quine Intellectual Property Law Group, P.C.

Address P.O. Box 458

Address

City Alameda

State CA

Zip 94501

Country United States

Telephone (510) 337-7871

Fax (510) 337-7877

I am the:

☐

Applicant/Inventor.

☐Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)**SIGNATURE of Applicant or Assignee of Record**

Name Linda S. Stevenson, Manager, Patent Prosecution

Signature *Linda S. Stevenson*Date *August 30, 2004*

Telephone (510) 587-6000

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

☐ *Total of _____ forms are submitted.**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or Printed Name Evelyn Gomez

Signature *Evelyn Gomez*

Date

August 31, 2004

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PTO/SB/66 (2-88)
Approved for use through 08/30/02000, OMB 0651-0031

STATEMENT UNDER 37 CFR 3.73(b)Applicant: John D. Baxter, et al.Application No.: 10/827,121Filed: April 16, 2004Entitled: NUCLEAR RECEPTOR LIGANDS AND LIGAND BINDING DOMAINS

The Regents of the University , a
of California

university

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application identified above by virtue of either:

A. [X] An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel __, Frame __, or for which a copy thereof is attached.

OR

B. [] A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel ____, Frame ____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel ____, Frame ____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel ____, Frame ____, or for which a copy thereof is attached.

[] Additional documents in the chain of title are listed on a supplemental sheet

[X] Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

August 30, 2004
Date

Linda S. Stevenson
Signature

Linda S. Stevenson

Typed or printed name

Manager, Patent Prosecution

Title

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ASSIGNMENT

NOT FOR RECORDATION

U.C. Case No. 96-026-5
Attorney Docket No. 407J-981114US

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. John D. Baxter

2. Robert J. Fletterick

3. Peter J. Kushner

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin Street, Twelfth Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

TITLE: NUCLEAR RECEPTOR LIGANDS AND LIGAND BINDING DOMAINS

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) _____ U.S. patent application filed herewith and listing the above named persons as inventors
- (c) X U.S. application serial no. 10/827,121, filed on April 16, 2004
- (d) _____ U.S. Patent No.: , issued

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

23 day of August, 2004
23 day of August, 2004
____ day of _____, 2004

Signature of Inventor(s)

John D. Baxter

Robert J. Fletterick

Peter J. Kushner

ASSIGNMENT

NOT FOR RECORDATION

U.C. Case No. 96-026-5
Attorney Docket No. 407J-981114US

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- (b) _____ U.S. patent application filed herewith and listing the above named persons as inventors
- (c) X U.S. application serial no. 10/827,121, filed on April 16, 2004
- (d) _____ U.S. Patent No.: , issued

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

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executed this

_____ day of _____, 2004

_____ day of _____, 2004

_____ day of _____, 2004

Signature of Inventor(s)

John D. Baxter

Robert J. Fletterick

Peter J. Kushner

Ag 24, 2004

ASSIGNMENT NOT FOR RECORDATION

U.C. Case No. 96-026-5

Attorney Docket No. 407J-981114US

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AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

24th day of Aug, 2004

____ day of _____, 2004

____ day of _____, 2004

Signature of Inventor(s)

John D. Baxter
John D. Baxter

Robert J. Fletterick

Peter J. Kushner